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PATENT

Agent's Docket No. **14756-US**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)

CHANG, Shoude et al.)

Serial No: **10/601,547**)

Art Unit: **2621**

Filed: **June 24, 2003**)

Examiner:

For: **SPECTRAL CODING BY FLUORESCENT SEMICONDUCTOR
NANOCRYSTALS FOR DOCUMENT IDENTIFICATION AND
SECURITY APPLICATIONS**

November 3, 2004

**Commissioner for Patents
U.S. Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450**

TRANSMITTAL LETTER

Sir:

Please find enclosed for filing:

- Transmittal of Information Disclosure Statement Form
- Information Disclosure Statement By Applicant – Form PTO/SB/08a
(with prior art documents attached)

Respectfully submitted,

BY: 

**Richard J. Mitchell
Reg. No. 34,519
Agent of Record**

**MARKS & CLERK
P. O. Box 957, Station B
Ottawa, Ontario Canada K1P 5S7 (613) 236-9561**

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT****(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.

14756-US

In Re Application Of: Shoude CHANG, et al.

Serial No.	Filing Date	Examiner	Group Art Unit
10/601,547	June 24, 2003		2621

Title: **SPECTRAL CODING BY FLUORESCENT SEMICONDUCTOR NANOCRYSTALS
FOR DOCUMENT IDENTIFICATION AND SECURITY APPLICATIONS**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97 (b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97 (c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14756-US

In Re Application Of: Shoude CHANG, et al.

Serial No.

10/601,547

Filing Date

June 24, 2003

Examiner

Group Art Unit

2621

Title: SPECTRAL CODING BY FLUORESCENT SEMICONDUCTOR NANOCRYSTALS
FOR DOCUMENT IDENTIFICATION AND SECURITY APPLICATIONS**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
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deposit account.
Signature

Dated: November 3, 2004

Richard J. Mitchell

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NOV 05 2004

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of

Complete if Known

Application Number	10/601,547
Filing Date	June 24, 2003
First Named Inventor	Shoude CHANG
Art Unit	2621
Examiner Name	
Attorney Docket Number	14756-US

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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